Awkward Compliance Moments

BINGO

You know more than the auditor	You have to call out the CEO for a potential infraction	The CEO sends an email to all staff telling them ethics training is useless because people should inherently know right from wrong	You learn the finance team thinks compliance is a “bad” expense	People see you coming and walk the other way
Not getting looped in at the beginning of projects… and finding compliance issues later	Having to ask a senior leader about a conflict they failed to disclose	The aggressive chase campaign: Having to chase down senior leaders to complete their training	Your boss asks what you talked about in your private meeting with the Board	Senior leaders keep falling for phishing scams
An unethical employee who brings in a lot of money is not disciplined	The compliance team is not informed of a data breach	 BROADCAT	No one in the entire organization believes they have any conflicts of interest at all	HR neglects to tell you that someone is under investigation
You haven’t received any helpline reports in months	Leadership thinks your compliance program is “good enough”	Legal turns an easy-to-understand policy into a confusing jumble of words	No one in the organization can name your core values except you	The CEO says there is no need to update the Board on compliance issues
The legal team turns your 2-page policy into a 10-page policy	Employees think the Helpline is for IT issues	The solution to every issue is to write a policy or create an e-learning module	You receive a Helpline report with no information to go on	Someone says, “Uh oh. Here comes compliance!”

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The CEO completes compliance training, but others are “too busy”	A fleece jacket is run by Compliance but a Super Bowl ticket is not	Someone insists “your system” must not be capturing their training completion	The company announces it’s being sold in the middle of your vacation	Someone bypasses third-party due diligence because “we trust them”
The public thinks your Helpline is for product complaints	Legal insists on writing your Code	Live training is interpreted as “reading the policy to the audience”	A manager proudly displays an expensive gift from a vendor in their office	Having to ask a senior leader about a conflict they failed to disclose
The aggressive chase campaign: Having to chase down senior leaders to complete their training	Your boss asks what you talked about in your private meeting with the Board	BROADCAT	Senior leaders keep falling for phishing scams	An unethical employee who brings in a lot of money is not disciplined
The compliance team is not informed of a data breach	You know more than the auditor	The solution to every issue is to write a policy or create an e-learning module	You receive a Helpline report with no information to go on	Someone says, “Uh oh. Here comes compliance!”
You learn the finance team thinks compliance is a “bad” expense	People see you coming and walk the other way	Legal turns an easy-to-understand policy into a confusing jumble of words	No one in the organization can name your core values except you	The CEO says there is no need to update the Board on compliance issues

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